

ADM-15.09, "GRANT MANAGEMENT", September 1, 2006

SCDC POLICY/PROCEDURE

Change 1 to "ADM-15.09": 4.3 5.1.35.3.2.5.3.45.4.1 NUMBER: ADM-15.09

TITLE: GRANT MANAGEMENT

ISSUE DATE: September 1, 2006

RESPONSIBLE AUTHORITY: Division of Budget and Resource Management

OPERATIONS MANUAL: ADMINISTRATION

SUPERSEDES: ADM-15.09 (February 1, 2004)

RELEVANT SCDC FORMS/SUPPLIES: 16-87, 16-119

ACA/CAC STANDARDS: NONE

STATE/FEDERAL STATUTES: NONE

PURPOSE: To establish guidelines for the development, review, management, revision, and continuation of externally funded grants.

POLICY STATEMENT: In order to augment the ongoing operations of the Agency, the SCDC will strongly encourage the development of grants from external sources that will enable the development, implementation, and evaluation of new programs, services, and activities. All grants will be developed, managed, and administered in full compliance with all applicable Agency directives and state and federal laws, guidelines, and regulations.

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SPECIFIC PROCEDURES:

1. GENERAL PROVISIONS:

1.1 No individual other than the Agency Director (or designated member of the Director's staff in his/her absence) is authorized to sign a grant or contract.

1.2 The procedures contained herein apply to the development of grants, grant renewals, and revisions. All revisions, extensions, progress reports, and financial correspondence will be coordinated through the Financial Accounting Branch.

2. GENERAL LIAISON:

2.1 The Financial Accounting Branch will be the primary liaison with the State Budget and Control Board for matters pertaining to grants. This includes maintaining and disseminating up-to-date guidelines as well as filing and tracking of all Grants and Contracts Review (GCRs) forms.

2.2 The Financial Accounting Branch is the primary liaison with the major funding agencies and/or major programs. This Branch will be responsible for maintaining up-to-date information on the availability of grant funds, planning cycles, guidelines, etc., and disseminating information to appropriate parties.

2.3 The Financial Accounting Branch will monitor funding and technical assistance announcements on an on-going basis and share information with appropriate staff about possible grants or other resources that may be available to the Department.

3. GRANT DEVELOPMENT:

3.1 The Financial Accounting Branch , in coordination with other agency managers such as Division Directors and members of the Director's staff, will be responsible for identifying needs and/or innovative programs and potential candidates for grant funding.

3.2 Upon approval by the Executive Staff, the responsible Agency Manager will designate an employee to be Project Director for the development of the project. The Project Director will be responsible for working with the Financial Accounting Branch in the development of the grant proposal. This process will include:

- developing key components of the grant proposal;
- receiving written approval from affected divisions, institutions, and/or programs regarding operational issues, complementing programs, restrictions, and availability of target groups;
- developing a preliminary budget;
- coordinating with other affected divisions and institutions regarding space, personnel, and equipment needs;
- coordinating with other public and private agencies as appropriate;
- obtaining approvals of affected members of the Director's staff; and
- obtaining the Agency Director's signature and submitting the grant to the appropriate funding source.

3.3 The Project Director will submit the completed grant application to the Financial Accounting Branch. The grant application should address all essential items included in the grant solicitation, including a budget narrative.

3.4 The Grants Administrator in the Financial Accounting Branch will:

- prepare final budget;
- prepare any necessary forms including a Form SF424, "Assurances and Certifications"; and
- obtain approval from the Director - Office of Budget and Resource Management.

4. GRANT IMPLEMENTATION:

4.1 All original grant award notifications must be sent to the Financial Accounting Branch prior to any commitments being made.

4.2 The Grants Administrator, in the Financial Accounting Branch, will meet with the Project Director and other affected parties to discuss grant regulations, grant requirements, budget time lines, personnel issues, reporting requirements, and any other related issues.

4.3 The ~~Financial Accounting Branch~~ will establish grant budgets in accordance with the terms and conditions of each grant and for approved budget categories only.

4.4 The Project Director will coordinate with the Grants Administrator, in the Financial Accounting Branch, to establish positions. If temporary grant positions are to be used, the Project Director will provide the necessary salary and position information to the Grants Administrator for set-up at State Human Resources. The Project Director will be responsible for ensuring:

- preparation of a SCDC Form 16-87, "Position Description," SCDC Form 16-119, "Position Action Request," and pre-classification of positions in consultation with the Division of Human Resources; (This coordination will include contact with the Division of Human Resources for recommendations regarding positions, grade levels, and appropriate classifications and with the Financial Accounting Branch for budget consideration.)
- coordinating with other public and private agencies as appropriate;
- preparation of specifications for equipment, if needed, in consultation with the Purchasing Branch and other specialists as required; and
- other planning as needed.

5. GRANT MANAGEMENT:

5.1 The Project Director will have primary responsibility for grant management, except on financial issues, which includes, but is not limited to, the following:

5.1.1 coordination - internal and external;

5.1.2 liaison, in conjunction with the Grants Administrator in the Financial Accounting Branch with the State or Federal funding agency for this particular project;

5.1.3 ordering of equipment/supplies - expenditures of Federal funds must be ordered through the SCDC Purchasing Branch to ensure that all purchasing requirements are met. For any expenditure of Federal funds for goods or services that exceeds \$25,000.00, SCDC must verify that the vendor has not been suspended or debarred. This verification may be accomplished by checking the Excluded Parties List System maintained by the General Services Administration, collecting a certification form from the vendor or adding a clause of condition to the contract;

5.1.4 establishment of program guidelines;

5.1.5 in consultation with the Division of Human Resources, hiring of personnel, and orienting them to the project;

5.1.6 orientation of others to objectives and progress of project;

5.1.7 establishment and maintenance of any necessary record keeping and reporting systems as required, including: staff time, participants time, programmatic/evaluation reporting, and correspondence;

5.1.8 development and processing of grant modifications in coordination with affected departmental units and the Financial Accounting Branch;

5.1.9 management/evaluation of project staff;

5.1.10 compliance with Common Rules for Grants (A102) and Cost Principles (A-87); and

5.1.11 compliance with all program/grant requirements.

5.2 The appropriate Agency Manager is responsible for ensuring the following:

5.2.1 implementation of the evaluation mechanism and monitoring of programmatic and fiscal progress, to include requirements that all programmatic and evaluation reports are filed with grantor as required;

5.2.2 coordination of monitoring visits from the funding source;

5.2.3 management/evaluation of Project Director;

5.2.4 negotiations and approvals, internal and external, for purchase of services and subcontractors within a grant; (These must be coordinated through the Financial Accounting Branch, the Purchasing Branch, and the

Office of General Counsel; signed by the Agency Director and the contractor; and approved by the funding source, if required.)

5.2.5 negotiations and approvals of consultant services purchased under a grant; (These must receive the same coordination and approvals as 6.2.4, above, as well as the Budget and Control Board.) and

5.2.6 closing out of projects with the Financial Accounting Branch, including disposition of equipment in accordance with departmental and funding source guidelines, and closing out projects with the Division of Human Resources if personnel were funded, whether completely or partially.

5.3 The Financial Accounting Branch will be responsible for:

5.3.1 maintenance of grant records, including financial records, progress reports, correspondence, and evaluations;

5.3.2 establishment of fiscal accountability and control, to include maintenance of all grant budgets; the Grants Administrator for each grant shall be responsible for preparing and filing necessary financial and programmatic reports. Preparation of financial reports shall include a reconciliation of financial reports with SCDC's financial record.

5.3.3 preparation and filing of financial reports to grantors; and

5.3.4 draw downs of grant funds shall be prepared by the Grants Administrator, approved by the appropriate accounting manager, forwarded to General Accounting, and;

5.3.5 referral to the Audit Section, Office of Budget and Resource Management at the earliest indication of possible or potential fiscal problems related to the management of the grant and determination of need to inform grantor.

5.4 Sub-Grantee Monitoring:

5.4.1 The grant shall, at a minimum, contain terms and conditions requiring compliance with all appropriate federal rules and regulations.

5.4.2 Required financial and progress reports shall be reviewed, signed, and dated by the Grants Administrator.

5.4.3 At least annually there shall be on-site monitoring visit of each sub-grantee and each visit shall be documented in writing.

5.4.4 Audit reports submitted by each sub-grantee shall be reviewed to ensure compliance with OMB Circular A-133.

6. EXTERNAL AUDITS:

6.1 The Financial Accounting Branch will be responsible for:

- receipt of intent to audit and coordination with affected units;

- coordination of pre-audit conferences, to include representation by the Audit Section, Office of Budget and Resource Management;
- provision of materials to auditors;
- receipt and review of audit findings, to include dissemination of such findings to the Audit Section, Office of Budget and Resource Management;
- preparing, staffing, and submitting the response to the audit in coordination with the Audit Section, Office of Budget and Resource Management, cognizant Division Director and/or Warden, and others as needed.

6.2 The Director's staff will be apprised by the Financial Accounting Branch of the outcomes and recommendations resulting from any audits which may necessitate modification of policies/ procedures accordingly.

7. DEFINITIONS: NONE

SIGNATURE ON FILE

—

s/Jon E. Ozmint, Director

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